

UVDB VERIFY B2 EVIDENCE GUIDANCE

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1. GENERAL

PURPOSE

The purpose of this guidance document is to provide an overview of the evidence likely to be assessed or requested by the Achilles Auditor as part of the UVDB Verify Category B2 Audit. **If you would like to view the UVDB Verify Category B2 Audit Protocol prior to your assessment please email audit.scheduling@achilles.com to request a copy.**

SCOPE

The content and evidence referred to within this document relates to the current UVDB Verify Category B2 Audit Protocol for both Management System and Site audit elements.

NOTE

The below list identifies typical documentation that the Auditor will request to view for the various subject areas (Systems Assurance & Compliance, Quality Control & Assurance etc.).

Where bullet points have been highlighted in bold text this documentation would be expected to be available on site (depending on the nature of work being undertaken).

The document list below is not exhaustive and has been prepared to assist with preparation for the audit. The Auditor may request additional evidence or examples which have not been outlined.

2. AUDIT EVIDENCE

SYSTEMS ASSURANCE & COMPLIANCE (Questions 1.1.1, 1.1.2, 1.1.3, 1.1.4 & 1.1.5)

- ISO9001, ISO14001 and OHSAS/ISO 45001 certificates.
- CDM Policy/Procedures.
- **Construction Phase Plan (if used).**
- **Waste Carrier Licence.**
- Operators Licence.
- FORS
- Logistics Risk Assessment/Fleet Management Tracking System

QUALITY CONTROL & ASSURANCE (Questions 1.2.1, 1.2.2, 1.2.3, 1.2.4, 1.2.5)

- Quality policy statement.
- Quality responsibilities document.
- Quality management system.
- Document control procedure.
- **Quality plan (if used).**
- **Inspection and test plan (if used).**
- **Snagging inspection record or other quality inspections/ testing.**
- **Handover record (if used).**
- ISO 27001 certificate (if held).
- IT security policy.
- Internal audit schedule.
- **Examples of internal/site audits.**

- Examples of non-conformance reports and a non-conformance log/ database.
- Evidence of assessment of audit non-conformance for example department improvement plans, KPIs, management review.

BUSINESSS CONTINUITY (Question 1.3.1)

- Business continuity plan/procedures.
- Business continuity test/review records.

EMPLOYMENT PRACTICE & HUMAN RIGHTS (Questions 1.4.1, 1.4.2, 1.4.3, 1.4.4 & 1.4.5)

- Anti-bribery and corruption policy.
- Training records.
- Evidence of how the company ensures that personnel are legally entitled to work in the UK such as right to work procedure or right to work information.
- Sample personnel files including copies of right to work documents (These may be redacted to conceal the name and personal details of the individual).
- Modern Slavery Act (2015) policy statement.

TRAINING & CAPABILITY/COMPETENCE ASSESSMENT (Questions 1.5.1, 1.5.2 & 1.5.3)

- **Signed new starter and site induction training records.**
- **Induction training checklist or content guide.**
- **Job descriptions or competency matrix for individual roles.**
- **Training matrix/training monitoring system.**
- **Sample training records/certificates/licences.**

WORKING HOURS (Question 1.6.1)

- Time sheets
- Fatigue risk assessments
- Opt-out agreement forms

WORKPLACE SAFETY (Questions 1.7.1, 1.7.2, 1.7.3, 1.7.4, 1.7.5, 1.7.6, 1.7.7, 1.7.8, 1.7.9 & 1.7.10)

- Evidence of competent health and safety support/guidance (internal or external).
- Register of legislation.
- **Health and safety policy statement.**
- Health and safety responsibilities document.
- **Senior management safety tours/audits or inspections.**
- Risk assessment procedure.
- Design risk assessment.
- **Site specific risk assessment and method statement.**
- **Generic risk assessment and method statement (if used).**
- **Permit to Work documentation.**

- Risk assessment and method statement briefing records.
- Evidence of safety communication (toolbox talk, safety briefings, site briefings etc.).
- PPE procedure.
- Signed PPE register or record.
- COSHH procedure.
- COSHH assessments.
- Spill kits/bunding/COSHH Control.
- First aid procedure, first aid risk assessment, first aid certificates.
- Fire and emergency response arrangements, equipment inspection & drill records.
- Accident and incident reporting procedure (including near miss).
- Details of any enforcement notices or prohibition notices received in the last five (5) years.
- Accident statistics for the last four (4) years.

OCCUPATIONAL HEALTH (Question 1.8.1)

- Occupational health responsibilities (Internal or external).
- Occupational health procedure.
- Occupational health screening/monitoring records (health questionnaire, medical assessment etc.).
- Alcohol & drug policy.
- Employee Assistance Programme
- Mental Health First Aid Certificates
- Mental Health Policy

SITE SECURITY (Question 1.9.1)

- Details of security arrangements (CCTV, Security Guards etc.).
- Evidence of SIA Licence (where security personnel are employed).

ENVIRONMENTAL MANAGEMENT (Questions 1.10.1, 1.10.2, 1.10.3, 1.10.4 & 1.10.5)

- Environmental policy statement.
- Environmental management system/policy/manual.
- Qualified environmental support (Internal or external).
- Legislation register.
- Aspects and impacts register.
- Environmental audit or inspection records.
- Waste management procedure/policy.
- Details of any recycling initiatives.
- Waste carrier Licence.
- Waste Transfer Notes.

- Spill response arrangements/equipment.

CARBON MANAGEMENT (Questions 1.11.1)

- Evidence of carbon footprint recording.
- Evidence of sustainability or CSR report.
- Sustainability objectives and targets.

SELECTION & MANAGEMENT OF SUB-CONTRACTORS (Questions 1.12.1 & 1.12.2)

- Job description/details of the person responsible for supplier and sub-contractor selection.
- Pre-qualification/sub-contractor procedure.
- Pre-qualification questionnaire.

- Approved suppliers list.
- Supplier/sub-contractor monitoring (internal audit, re-issue of questionnaire, meetings etc.)

SOURCING OF GOODS & PRODUCTS (Questions 1.13.1, 1.13.2, 1.13.3, 1.13.4)

- Details of the arrangements for the identification, mitigation and prevention of counterfeit, fraudulent and suspect items (CFSI, nuclear industry only).
- Chain of custody certification for suppliers such as FSC certificates for timber suppliers.
- Details and evidence of methods used to prevent corruption or bribery in the supply chain.
- Arrangements for preventing modern slavery in the supply chain (code of conduct, pre-qualification questionnaire etc.).

USE OF WORK EQUIPMENT, VEHICLES & MACHINES (Questions 1.14.1)

- Calibration/test records including Portable Appliance Test (PAT).
- Maintenance plans for of plant or equipment.
- Qualifications of personnel carrying out inspections on plant.
- Records of thorough inspection for plant, equipment and lifting equipment/accessories.
- Details of how the company checks that hired equipment is suitable for use.
- Examples of pre-use/ weekly inspections carried out on plant and equipment at site/ workshop/ manufacturing facility.